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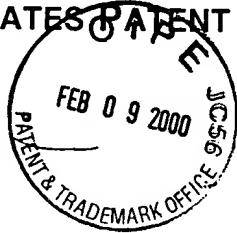
I hereby certify that this transmittal of the below described document is being deposited with the United States Postal Service in an envelope bearing First Class Postage and addressed to the Commissioner of Patents and Trademarks, Washington, D.C., 20231, on the below date of deposit.			
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE FEB 28 2000

Group 2700

In re Application of: Whitfield  
Serial No. : 09/472,100  
Filed: 12/20/1999



Docket No. : ADEX0001  
Art Unit: Not Yet Assigned  
Examiner: Unknown

Title: SECURE SYSTEM FOR THE ISSUANCE, ACQUISITION, AND REDEMPTION OF CERTIFICATES IN A TRANSACTION NETWORK

#3

### INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

This Information Disclosure Statement is submitted:

- (X) under 37 CFR 1.97(b), or  
(within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ( ) under 37 CFR 1.97(c) together with either a:
  - ( ) Certification under 37 CFR 1.97(e), or
  - ( ) a \$220.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ( ) under 37 CFR 1.97(d) together with a:
  - ( ) Certification under 37 CFR 1.97(e), and
  - ( ) a \$220.00 fee under 37 CFR 1.17(d)(2)(ii), and
  - ( ) a \$130.00 petition fee set forth in 37 CFR 1.17(i)(1)  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)
- ( ) The Commissioner is authorized to charge any additional fees or credit any overpayment to Deposit Account No. 07-1445 (Order No. \_\_\_\_\_). A copy of this sheet is enclosed for accounting purposes.

ATTORNEY DOCKET NO: ADEX0001

(X) Applicant(s) submit herewith Form PTO 1449 -- Information Disclosure Citation together with copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.25.

( ) A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 156(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.


It is requested that the information disclosed herein be made of record in this application.

Respectfully Submitted,



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Customer No. 22862

<b>Form 1449 (Modified)</b>  <b>Information Disclosure Statement By Applicant</b>  (Use Several Sheets if Necessary)	Atty Docket No. ADEX0001 Applicant: Whitfield Filing Date: 12/20/1999	Serial No.: 09/472,100  Group: Not Assigned
		

### U.S. Patent Documents

Examiner Initial	No.	Patent No.	Date	Patentee	Class	Sub-class	Filing Date
	A	4,669,730	6/2/87	Small	273	138	11/5/84
	B	5,019,694	5/28/91	Collins, Jr.	235	383	9/29/89
	C	5,613,012	3/18/97	Hoffman et al.	382	115	5/17/95
	D	5,661,517	8/26/97	Budow et al.	348	13	4/8/96
	E	5,671,279	9/23/97	Elgamal	380	23	11/13/95
	F	5,706,442	1/6/98	Anderson et al.	395	227	12/20/95
	G	5,764,789	6/9/98	Pare, Jr. et al.	382	115	9/27/96
	H	5,802,199	9/1/98	Pare, Jr. et al.	382	115	3/17/97
	I	5,805,719	9/8/98	Pare, Jr. et al.	382	115	3/18/97
	J	5,812,668	9/22/98	Weber	380	24	6/17/96
	K	5,838,812	11/17/98	Pare, Jr. et al.	382	115	6/25/96
	L	5,839,119	11/17/98	Krsul et al.	705	39	9/27/96
	M	5,850,442	12/15/98	Muftic	380	21	3/26/96
	N	5,850,446	12/15/98	Berger et al.	380	24	6/17/96
	O	5,870,723	2/9/99	Pare, Jr. et al.	705	39	8/29/96
	P	5,878,337	3/2/99	Joao et al.	455	406	6/12/97
	Q	5,889,863	3/30/99	Weber	380	25	6/17/96
	R	5,907,801	5/25/99	Albert et al.	455	406	9/22/95
	S	5,915,019	6/22/99	Ginter et al.	380	4	1/8/97
	T	5,915,093	6/22/99	Berlin et al.	395	200.49	4/24/97

### Foreign Patent or Published Foreign Patent Application

Examiner Initial	No.	Document No.	Publication Date	Country or Patent Office	Class	Sub-class	Translation	
							Yes	No
	U	421 673A2	4/10/91	EPO	G06F	7/10	X	
	V	421 673B1	9/13/95	EPO	G06K	7/10	X	
	W	833 285A2	4/1/98	EPO	G07F	19/00	X	
	X	WO 96/26505	8/29/96	PCT	G07F	7/08	X	



## Other Documents

Examiner Initial	No.	Author, Title, Date, Place (e.g. Journal) of Publication
	Y	Bellare, M., J. Garay, R. Hauser, A. Herzberg, H. Krawczyk, M. Steiner, G. Tsudik, and M. Waidner, <i>iKP-A Family of Secure Electronic Payment Protocols</i> , July 1995, IBM Research Laboratory.
	Z	Ferguson, N., <i>Single Term Off-Line Coins</i> , 1991, CWI
	AA	Hewlett-Packard, <i>Financial Transaction Models in the Electronic World</i> , June 1999, Hewlett-Packard Laboratories, Bristol
	BB	Mao, W., <i>A Secure, Cheap, Scalable and Exportable/Importable Method for Internet Electronic Payments</i> , May 1995, Hewlett-Packard Laboratories, Bristol.
	CC	Mao, W., <i>Financial Transaction Models in the Electronic World</i> , June 1995, Hewlett-Packard Laboratories, Bristol.
	DD	<i>Strategic Partners</i> , <a href="http://www.webcertificate.com:80/webcert/default.asp">www.webcertificate.com:80/webcert/default.asp</a>
	EE	Van Herreweghen, E., <i>For Your Information</i> , Feb 1996, ZIP-CERT
	FF	Van Herreweghen, E., <i>Zurich iKP Prototype</i> , Feb 1996, IBM Zurich Research
Examiner		Date Considered

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.